

07-10-01

PTO/SB/05 (11-00)

Please type a plus sign (+) inside this box ☐

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. P-14 (n) CIP/CONT  
First Inventor Wayne Anderson, et al.  
Title Improved Hand/Survival Tool.  
Express Mail Label No. EL 133 330 387U9

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 39]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 21]
5. Oath or Declaration [Total Pages 2]
- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. attachment incorporated
17. ☒ Other by reference including drawing (16 pgs)

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. 09, 237,557

Prior application information: Examiner Debra Meislin

Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label ☒ Correspondence address below

Name Marvin Feldman

Address Lackenbach Siegel One Chase Road

City Scarsdale State NY Zip Code 10583

Country US Telephone (914) 723-4300 Fax 723-4301

Name (Print/Type) Marvin Feldman Registration No. (Attorney/Agent) 25,797

Signature *Marvin Feldman* Date July 9, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

## Complete if Known

Application Number	
Filing Date	7/9/2001
First Named Inventor	Wayne Anderson, et al
Examiner Name	Debra Meislin
Group Art Unit	3723
Attorney Docket No.	P-14(n) CIP/COIT

TOTAL AMOUNT OF PAYMENT (\$)

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number  
Deposit Account Name  
10-0100

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	\$355
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$) 355

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 355

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	
Other fee (specify)			
*Reduced by Basic Filing Fee Paid			
SUBTOTAL (3) (\$)			

## SUBMITTED BY

Name (Print/Type) Marvin Feldman

Signature

Registration No.  
(Attorney/Agent)

25,797

## Complete (if applicable)

Telephone

(914-723-4300)

Date

July 9, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

ASSISTANT COMMISSIONER OF PATENTS  
WASHINGTON, D.C. 20231

Sir: TRANSMITTED HERewith FOR FILING IS A  
U.S. PATENT APPLICATION FOR:

Inventor(s): Wayne Anderson et al.

Title: Improved Hand/Survival Tool Having Multiple  
Implements

Attorney Docket No.: P-14 CONT/CIP

Enclosed are:

- ☒ Specification, claims, Abstract  
☒ 21 sheet(s) of drawings  
☒ FORMAL ☐ INFORMAL  
☐ An Assignment of the Invention  
☒ A Declaration and Power of Attorney (unsigned; signed Declaration to follow)  
☒ A Verified Statement to establish small entity status under 37 CFR 1.9 and 34 CFR 1.27 - will follow.  
☐ Priority is claimed Priority document(s) is ☐ ENCLOSED ☐ NOT ENCLOSED.

The filing fee has been calculated as shown below:

FOR	NO. FILED	NO. EXTRA
Basic Fee		
Total Claims	57 - 20 =	37
Indep Claims	5 - 3 =	2
<input type="checkbox"/> Multiple Dependent Claim Presented: No.		

Fee for extra claims: \$ 0

SMALL ENTITY	
RATE	FEE
	\$ 380.00
\$9.00	\$ 333.00
\$39.00	\$ 78.00
	\$
TOTAL	\$ 791.00

or

or

or

or

or

or

LARGE ENTITY	
RATE	FEE
	\$790.00
	\$
	\$
	\$
TOTAL	\$ 790.00

- ☐ Please charge my Deposit Account No. 10-0100 in the amount of \$  
A duplicate copy of this sheet is enclosed.  
☒ A check in the amount of \$791.00 to cover the filing fee will follow.  
\*Check does not include \$40.00 assignment recording fee.  
☐ The Commissioner is hereby authorized to charge payment of the fees associated with this communication and during the pendency of this application, such as an extension or issue fee if mistakenly not paid or insufficient, and/or any other fee due but not paid by check, etc., or credit any overpayment to Deposit Account No. 10-0100. A duplicate copy of this sheet is enclosed.

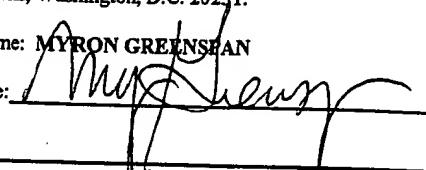
Dated: January 26, 1999  
One Chase Road  
Scarsdale, NY 10583  
(914) 723-4300

LACKENBACH SIEGEL MARZULLO  
ARONSON & GREENSPAN, P.C.

BY:

MYRON GREENSPAN  
Reg. No. 25,680

Enclosed for filing under ☒ 35 USC 111 or ☐ 35 USC 371

Certificate of Mailing By "Express Mail"  
"Express Mail" Mailing Label No.  
EL 133 325 824 US  
Date of Deposit: January 26, 1999  
I hereby certify that this paper or fee is being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" under 37 C.F.R. § 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.  
Print Name: MYRON GREENSPAN  
Signature: 

PTO  
903 U.S. MAIL  
09/90/305  
07/09/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Certificate of Mailing

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Henry A. Marzullo, Jr.

Dated:

Applicant hereby petitions that any and all extensions of the term necessary to render this response timely be granted. Costs for such extension(s) and or any other fee due with this paper, not fully covered by an enclosed check may be charged to Deposit Account #10-0100.

1c903 U.S. PTO

09/901305



Inventors: Wayne Anderson

Serial No.: 09/237,557

Filing Date: 1/26/99

Examiner:

Art Unit: 3723

Title: IMPROVED HAND/SURVIVAL TOOL HAVING MULTIPLE IMPLEMENTS

Docket No.: P- 14CONT/CIP

Assistant Commissioner of Patents  
Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

Sir:

In reply to the official communication mailed February 11, 1999 in the above patent application, applicants enclose herewith both an executed Declaration and Power of Attorney and a Declaration Claiming Small Entity Status.

A check in the amount of \$791.00, payable to the Commissioner of

Patents and Trademarks, is enclosed and includes the Government Filing Fee of \$380; \$333 for 37 additional dependent claims and \$78 for 2 additional independent claims. We are also enclosing a copy of this notice. The \$65 Government Surcharge fee for late filing of the Declaration and Small Entity Declaration is to be charge to the undersigned attorney's Deposit Account Number 10-0100. A duplicate copy of this page is attached for such purpose.

In the event that a charge or credit is to be made relative to this subject patent application, then same may also be charged or credited to the attorney's Deposit Account No. 10-0100.

Accordingly, we await confirmation of the above-mentioned enclosures.

Respectfully submitted,

**LACKENBACH SIEGEL MARZULLO  
ARONSON & GREENSPAN**

BY: 

HENRY A. MARZULLO, JR.  
Reg. No. 20,910

Dated: 3-31-99  
One Chase Road  
Scarsdale, New York 10583  
914-723-4300

V & C DOCKET

FEB 26 1999



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

By

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/237,557	01/26/99	ANDERSON	W P-14-CONT (X) m/e

0212/0211  
LACKENBACH SIEREL MARZULLO ARONSON &  
GREENSPAN  
PENTHOUSE SUITE  
ONE CHASE ROAD  
SCARSDALE NY 10583

NOT ASSIGNED

3723

DATE MAILED:

02/11/99



**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☐ non-small entity is \$ 1712.00.

- ☒ 1. The statutory basic filing fee is:  
☐ missing.  
☐ insufficient.

Applicant must submit \$ 760.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☐ 2. Additional claim fees of \$ \_\_\_\_\_, including any multiple dependent claim fees, are required.

\$ 156 for 2 independent claims over 3.

\$ 1664 for 37 dependent claims over 20.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:

☒ is missing or unexecuted.

☐ does not cover the newly submitted items.

☐ does not identify the application to which it applies.

☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

- ☐ 8. The application does not comply with the Sequence Rules.

See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

- ☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

Best Way

Honorable Commissioner of Patents  
and Trademarks  
Washington, D.C. 20231

Inventor: ANDERSON et al.  
Docket No.: P-14 CONT/CIP  
Serial No.: \_\_\_\_\_  
Resp. Due: \_\_\_\_\_  
Date Sent: 1/26/99

Sir:

Kindly acknowledge receipt of the accompanying

- 7 \$791.00 check will follow.
- |  |  |  |
|--|--|--|
| <input type="checkbox"/> _____ Month(s) Ext. of Time                               | <input checked="" type="checkbox"/> New Application        | <input type="checkbox"/> Notice of Appeal                  |
| <input type="checkbox"/> Amendment   | <input checked="" type="checkbox"/> <del>Check</del> Check | <input type="checkbox"/> Assignment                        |
| <input type="checkbox"/> Response  | <input type="checkbox"/> Base Issue Fee                    | <input checked="" type="checkbox"/> Other <u>21 sheets</u> |
| <input type="checkbox"/> Response to Final   | <input type="checkbox"/> Balance Issue Fee                 | <u>of formal</u>   |
| <input type="checkbox"/> Appeal Brief  | <input type="checkbox"/> Priority Documents                | <u>drawings +</u>  |
| <input type="checkbox"/> 37 CFR 1.8(a) Cert. <u>EL</u>                             | <input type="checkbox"/> Discl. Statement                  | <u>unsigned Deal</u>                                       |
| <input checked="" type="checkbox"/> 37 CFR 1.10 Cert. (No. <u>133 325 824 US</u> ) |  |  |

by placing your receiving date stamp hereon and mailing.

Post card as  
filed

231

APR 02 1999

the accompanying

☐ Assignment  
☒ Other 12/4/Dec.  
Dec 5 small Enb ty  
P70-1533 (missing  
parts) 2 which

Kindly acknowledge receipt of the accompanying

- by placing your receiving date stamp hereon and mailing.